15 Pages

Practitioner's Docket No.

57155-CIP2 (BC) (70207)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

[X]

Applicant:

David M. KNIPE, Robert FINBERG and George SIBER

Serial No.*:

08/278,601

Filed:

July 21, 1994

For:

HERPESVIRUS REPLICATION DEFECTIVE MUTANTS

Examiner:

MOSHER, Mary

Assistant Commissioner for Patents Washington, D.C. 20231 Attn: Examiner M. Mosher

CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that the following papers are being facsimile transmitted to the Patent and Trademark Office (fax No. (703) 746-5258) on the date shown below:

- 1. STATEMENT UNDER 37 C.F.R. § 3.73(b) ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION (4 pages);
- 2. POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST (REVOCATION OF PRIOR POWERS) (2 pages).

<u>August 15, 2002</u> Date Nicholas A. Zachariades

(type or print name of person signing certification)

Signature

BOS2 310094.1

(Certification of Facsimile Transmission-page 1 of 1)

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HERPÉSVIRUS REPLICATION DEFECTIVE MUTANTS

*NOTE: Insert name(s) of all inventor(s) and title also for patent

Commissioner for Patents Washington, D.C. 20231

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST (REVOCATION OF PRIOR POWERS)

As assignee of record of the entire interest of the above identified

[X] application, [] patent,

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

NEW POWER OF ATTORNEY

the following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

(list name and registration number)

(check the following item, if applicable)

[] Attached, as part of this power of attorney, is the authorization of the above-named attorney(s) to accept and follow instructions from my representative(s).

(Power of Attorney by Assignee of Entire Interest-page 1 of 2)

SEND CORRESPONDENCE TO:

George W. Neuner Edwards & Angell, LLP P.O. Box 9169 Boston, MA 02209 USA DIRECT TELEPHONE CALLS TO:

George W. Neumer (617) 439-4444

	PRESIDENT AND FELLOWS OF HARVARD COLLEGE	ı	
(type o	r print identity of assignee of entire interest)		
441	L7 QUINCY STREET		
Addre:	BOSTON, MASSACHUSETTS 02138		
[X]	Recorded in PTO on September 2, 1994 Reel		
	Frame <u>0171-0173</u>		
[]	Recorded herewith		
hed toth	is power is a "STATEMENT UNDER 37 C.F.R. 3.73(b),"		
Signatu	is power is a "STATEMENT UNDER 37 C.F.R. 3.73(b)," Les Clause & C	Date:	<u>}-14-0</u>
Signatu Susans (Ope or Acting	hesannes Churchier		<u>}-14-0</u>

Added page—Authorization of attorney(s) to accept and follow instructions from

(Power of Attorney by Assignee of Entire Interest-page 2 of 2)

[]

representative.

Pra	ctitioner'.	s Docket No.	57155-CIP2 (BC) (70207)		PATENT
		IN THE	UNITED STATES	PATENT ANI	TRADEMARK OFFICE	5
Serial No.*: 0 Filed: Ji		David M. KNIPF, Robert FINBERG and George SIBER 08/278,601 July 21, 1994 HERPESVIRUS REPLICATION DEFECTIVE MUTANTS				
	*NOTE	: Insert nume(s	of all inventor(s) and tit	le also for patent.		
		r for Patent D,C, 20231	,			
		estai	STATEMENT S BLISHING RIGHT	UNDER 37 C OF ASSIGNI	F.R. § 3.73(b) EE TO TAKE ACTION	
*WA.	RNING:	"Since the fil oversight tha	n prior to massing, 37 C ing of correspondence u can be avoided by the e	.F.R. 1.10(b). nder § 1.10 withou sertise of reasons	he number of the "Express Mail" ut the Express Mail mailing tabel able care, requests for watver of the Fed. Reg. 56,439, at 56,442.	/ha !
NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with n patent application,, patent, registration, or reexamination proceeding, the assignee must establic ownership of the property to the satisfaction of the Commissioner. Ownership is established by sub Office, in the Office file related to the matter in which action is sought to be taken, documentary ev					tslåblish its	
u.	e .	(Whei	CERTIFICATION Using Express Mail, the Express Mail	NDER 37 C.F.R. Express Mail lab certification is of	el number is mandatory.	.24
I heret	y centify the	it, on the date sl	lown below, this corresp	ondence is being:		
х	deposite Washing	d with the Unite ton, D.C. 2023	d States Postal Service i	MAILING n an envelope add	ressed to the Assistant Commission	oner for Patents,
		37 C.F.R. 1.	8(a)	_	37 C.F.R. 1.10*	
x	with suff	lcient postage a	s first class mail.		as "Express Mail Post Office to Mailing Label No. (mandatory	ı Addressee" y)
	transmitt	ed by facsimile	TR. to the Patent and Tradett	ANSMISSION ark Office.		

(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignee to Take Action—page 1 of 4)

(type or print name of purson curtifying)

Indith A. Herrick

Signature

Date

chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., teel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: The PTO points out, in the Notice of June 24, 1992 (1140 O.C. 63-72, at 66), that "[a]dditionally, when a patent assignee is not represented by an attorney or registered agent, a statement by the assignee must also be submitted stating that the evidence has been reviewed and certifying that, to the best of the party's knowledge and belief, title is in the party seeking to take action."

The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

PRESIDENT AND FELLOWS OF HARVARD COLLEGE. (Ope or print identity of assignce of entire interest) 17.QUINCY STREET
BOSTON MASSACHIJSETTS 02138
Type of assignee, e.g., corporation, partnership, university, government agency, etc.
PERSON AUTHORIZED TO SIGN
Susanne E. Churchill
(type name of person authorized to sign on behalf of assignee)
Acting Director, Office of Technology Licensing & Industry Sponsored Research Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1130 O.G. 62-64) points out:

"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner un official of un assignee or employer the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignce to Take Action-page 2 of 4)

(complete the following, if applicable)

I, the person signing below, state that I am empowered to sign this statement on behalf of [X] the assignee.

BASIS OF ASSIGNEE'S INTEREST

Osynership by the assignee is established as follows:

	Q WIIC	isinp by the assigned is established as follows:
A.	1. ed in the	[X] An assignment from the inventor(s) of the matter identified above, which was PTO on September 2, 1994 at
		Reel 7122 Frame 0171-0173
	2.	[] An assignment (document) separately being submitted for recordal herewith.
		AND/OR
В.	[]	A chain of title from the inventor(s) to the current assignee as shown below:
	1.	From: Name of inventor(s) To: Recorded in PTO: Reel, Frame
	2.	From: Name of inventor(s) or assignee To:
	3.	Recorded in PTO: Reel, Frame
		From: Name of inventor(s) or assignee To: Recorded in PTO: Reel Frame
	[]	(check tiem below, and add details, if applicable) Additional documents in the chain of title are listed in the attached Supplemental Sheet.
		COPIES OF DOCUMENTS IN CHAIN OF TITLE
		(complete this item, if copies are being sent)
follows	(X) ;	Copies of the assignment(s) or other document(s) in the chain of title are attached as
		(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignee to Take Action—page 3 of 4)

	[] {X]	A B	[X] []	1	[]	2 2	[]	3
							Signat	MISAMUL Churchicure de l'acceptant de la company de la com
								nne E. Churchill print name of authorized person)
							Licer	g Director, Office of Technology using & Industry Sponsored Research
								f authorized person
Reg. No	.: 26,90	54						ATURE OIL PRACTITIONER
								pe W. Neuner or print name of practitioner)
Tel, No.	: (617)	439- 44 4	14				P.O. A	Box 9169

BOS2_308490.1

Customer No.: 21874

(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignee to Take Action—page 4 of 4)

Boston, Massachusetts 02209-9169

DATE: 09/29/94

TO:



UNITED STATES DEPARTMENT OF C MMERCE Patent and Trademark ffi e

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

NO4C

DAVID E. BROOK, ESQ. HAMILTON, BROOK, SMITH & REYNOLDS, P.C. TWO MILITIA DRIVE LEXINGTON, MA 02173

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT BRANCH OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE U.S. PATENT AND TRADEMARK OFFICE ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE, THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT ASSIGNMENT PROCESSING SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT '703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT BRANCH, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231

ASSIGNOR:

KNIPE, DAVID

DOC DATE: 08/23/94

RECORDATION DATE: 09/02/94 NUMBER OF PAGES 003 REEL/FRAME 7122/0171

DIGEST : ASSIGNMENT OF ASSIGNORS INTEREST

ASSIGNEE:

PRESIDENT AND FELLOWS OF HARVARD COLLEGE 124 MOUNT AUBURN STREET CAMBRIDGE, MA 02138-5701

SERIAL NUMBER PATENT NUMBER 8-278601

FILING DATE 07/21/94 ISSUE DATE 00/00/00

EXAMINER/PARALEGAL ASSIGNMENT BRANCH

ASSIGNMENT/CERTIFICATION SERVICES DIVISION

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(107.000)	DRM COVERS . IT U.S. DEPARTMENT OF COMMERCE Palent and Trademark Office
OMII No. 0651-0011 (0xp. 4/17) SEP PATENT	LE ONL'A DECI-363V
To the Honoraby Sommissioner Statents and Trademarks:	Please record the attached original documents or copy thereol.
Pencel	
1. Name of conveying part (135).	2. Name and address of receiving party(ies)
David Knipc	Name: President and Fellows of Harvard College
Additional name(s) of conveying party(ies) attached? Q Yes XXNo	Internal Address:
3. Nature of conveyance:	
Assignment	Street Address: 124 Mount Auburn Street
☐ Security Agreement \ ☐ Change of Name	
Other	City: Cambridge State: MA ZIP: 02138-
Execution Date: <u>August 23, 1994</u>	Additional name(s) & address(es) attached? O Yes W/No
Application number(s) or patent number(s):	
If this document is being filed together with a new application	the execution data of the profitantian in
A. Patent Application No.(s)	B. Patent No.(s)
08/278,601	: 📛 "
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Additional numbers at	tlached? D Yes & No
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved:
Name: David E. Brook, Esq.	7. Total fee (37 CFR 3.41)\$ 40.00
Internal Address: <u>HAMILTON</u> <u>BROOK</u> , <u>SMITH</u> &	☐ ☑ Enclosed ♡
REYNOLDS, P.C.	☐ Authorized to be charged to deposit account
	Authorized to be charged to deposit account
Stree Address: Two Militia Drive	8. Deposit account number:
City: Lexington State: MA ZIP: 02173	(Attach duplicate copy of this page if paying by deposit account)
O90 BA 09/08/94 08278401	91855817
9. Statement and signature.	ation is true and correct and any attached copy is a true copy of
Carolyn S. Elmore awky	AMAR AMAUNT 30, 1904
Name of Person Signing	Signatur Date
Total number of pages including of Mail documents to be recorded with re	cover sheet, attachments, and document: 3

Dι

t No.

Sole

DFCI-363A

ASSIGNMENT

WHEREAS, I, David Knipe (hereinafter "the Assignor") have, together with co-inventors Robert Finberg and George Siber, invented a certain new and useful improvement in HERPESVIRUS REPLICATION DEFECTIVE MUTANTS described in an application for Letters Patent of the United States, Serial No. 08/278,601, filed July 21, 1994.

WHEREAS, the President and Fellows of Harvard College (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and having a usual place of business at 124 Mount Auburn Street, Cambridge, Massachusetts 02138-5701 desires to acquire an interest therein in accordance with agreements duly entered into with me;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of the said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, I have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE. its successors, assigns and legal representatives, my entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to the said invention as described in said application, together with my entire right, title and interest in and to the said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by me had this assignment and sale not been made; I hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. I hereby acknowledge that this assignment, being of my entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of my entire right, title and interest therein.

AND, I hereby further agree for myself and my executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution

of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may b involved.

AND, I do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives;

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my seal the date set forth below.

Inventor: David Knipe

state/Commonwealth
of Massachusetts

County of AHOW

Then personally appeared before me the above-named and acknowledged that he executed the foregoing instrument as his free act and deed this ______ day of ______, 19_____, 19_______,

(SEAL)

My Commission expires 4 / 28 / 2000

MANAGER OF THE MAPPED

SEP -2 94



UNITED STATES DEPARTMENT F COMMERCE Patent and Trademark ffice

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

DATE: 09/29/94

TO:

NO4C

DAVID E. BROOK, ESQ. HAMILTON, BROOK, SMITH & REYNOLDS, P.C. TWO MILITIA DRIVE LEXINGTON, MA 02173

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PATENT NUMBER

EXAMÎNER/PARALEGAL ASSIGNMENT BRANCH

ASSIGNMENT/CERTIFICATION SERVICES DIVISION

AUG-15-2002 THU 03:50 PM EDDS & ANGELL FAX NO. 617 17 TO1 OC - => X FOR:# PTO-1595 U.S. DEPARTMENT OF COMMERCE DRDATION FORM COVER S (RJV. 6-93) Patent and Trademark Office PATENTS ONLY OMB No. 0651-0011 (exp. 4/9 DFCI-363A Tab setlings □ □ □ atents and Trademarks: Please record the attached original documents or copy thereof. To the Honorab Name and address of receiving party(ies) Name of conveying p Name: President and Fellows of Harvard David Knipe College Internal Address:_ Additional name(s) of conveying party(ies) attached?

Yes XXNo 3. Nature of conveyance: Assignment Assignment ■ Merger Street Address: 124 Mount Auburn Street □ Security Agreement \(\square\) Change of Name City Cambridge _ State: _MA C) Other ___ Execution Date: August 23, 1994 Additional name(s) & address(es) attached? CI Yes VIVNo Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: A. Patent Application No.(s) B. Patent No.(s) 08/278,601 Additional numbers attached?

Yes XKNo. 5. Name and address of party to whom correspondence 6. Total number of applications and patents involved: concerning document should be mailed: Name: David E. Brook, Esq. Total fee (37 CFR 3.41).....\$ 40.00 Internal Address: HAMILTON, BROOK, SMITH & ☑ Enclosed REYNOLDS, P.C. Authorized to be charged to deposit account Street Address: Two Militia Drive Deposit account number: Lexington Slale: MA ZIP: 02173 (Attach duplicate copy of this page if paying by deposit account) DO NOT USE THIS SPACE 91855817 090 BA 09/08/94 08278601 1 501 - 40.00 CK 9. Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Carolyn S. Elmore

Total number of pages including cover sheet, attachments, and document:

Name of Person Signing

Dc t No. DFCI-363A

Sole

ASSIGNMENT

WHEREAS, I, David Knipe (hereinafter "the Assignor") have, together with co-inventors Robert Finberg and George Siber, invented a certain new and useful improvement in HERPESVIRUS REPLICATION DEFECTIVE MUTANTS described in an application for Letters Patent of the United States, Serial No. 08/278,601, filed July 21, 1994.

WHEREAS, the President and Fellows of Harvard College (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and having a usual place of business at 124 Mount Auburn Street, Cambridge, Massachusetts 02138-5701 desires to acquire an interest therein in accordance with agreements duly entered into with me;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of the said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, I have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, my entire right, title and interest in and throughout the United States of America, its territorics and all foreign countries, in and to the said invention as described in said application, together with my entire right, title and interest in and to the said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and ontirely as the same would have been held by me had this assignment and sale not been made; I hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters I hereby acknowledge that this assignment, being of my entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of my entire right, title and interest therein.

AND, 1 hereby further agree for myself and my executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution

of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved.

AND, I do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives;

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my seal the date set forth below.

Inventor: Jour of Knipe

of Massachusetti.

(SEAL)

My Commission expires 4 / 28 / 200

ATTITUTE OF A STANDED

SEP -2 94